

PATENT



Docket No. 4159-4003US1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant (s): Richard B. Himmelstein
Serial No.: 09/921,610
Filing Date: August 3, 2001
For: **ELECTRONIC BARTERING SYSTEM**

LETTER TO OFFICIAL DRAFTSPERSON

Commissioner For Patents
Washington, D.C. 20231
Attn: OFFICIAL DRAFTSMAN

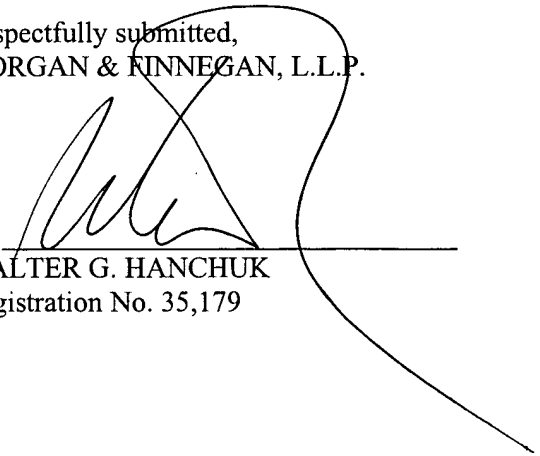
Sir :

Enclosed herewith are twenty (20) sheets of formal drawings (Figs. 1-9BB) for the above-referenced application.

The Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or credit any overpayment to Deposit Account No. 13-4500, Order No. 4159-4003US1. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,
MORGAN & FINNEGAN, L.L.P.

Dated: October 12, 2001

By: 
WALTER G. HANCHUK
Registration No. 35,179

Mailing Address:
MORGAN & FINNEGAN, L.L.P.
345 Park Avenue
New York, New York 10154
(212) 758-4800
(212) 751-6849 (FAX)



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CERTIFICATE OF MAILING (37 C.F.R. 1.8a)

COMMISSIONER FOR PATENTS
Washington, D.C. 20231

Sir:

I hereby certify that the attached Letter to Official Draftsperson (enclosing formal drawings Figs. 1-9BB);

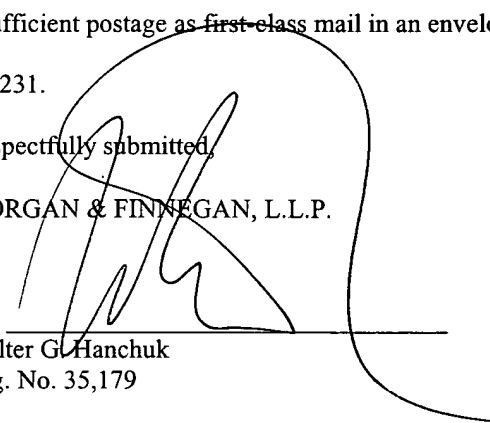
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along with any paper(s) referred to as being attached or enclosed and this Certificate of Mailing are being deposited with the United States Postal Service on date shown below with sufficient postage as first-class mail in an envelope addressed to the: Commissioner for Patents, Washington, D.C. 20231.

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

Dated: October 12, 2001

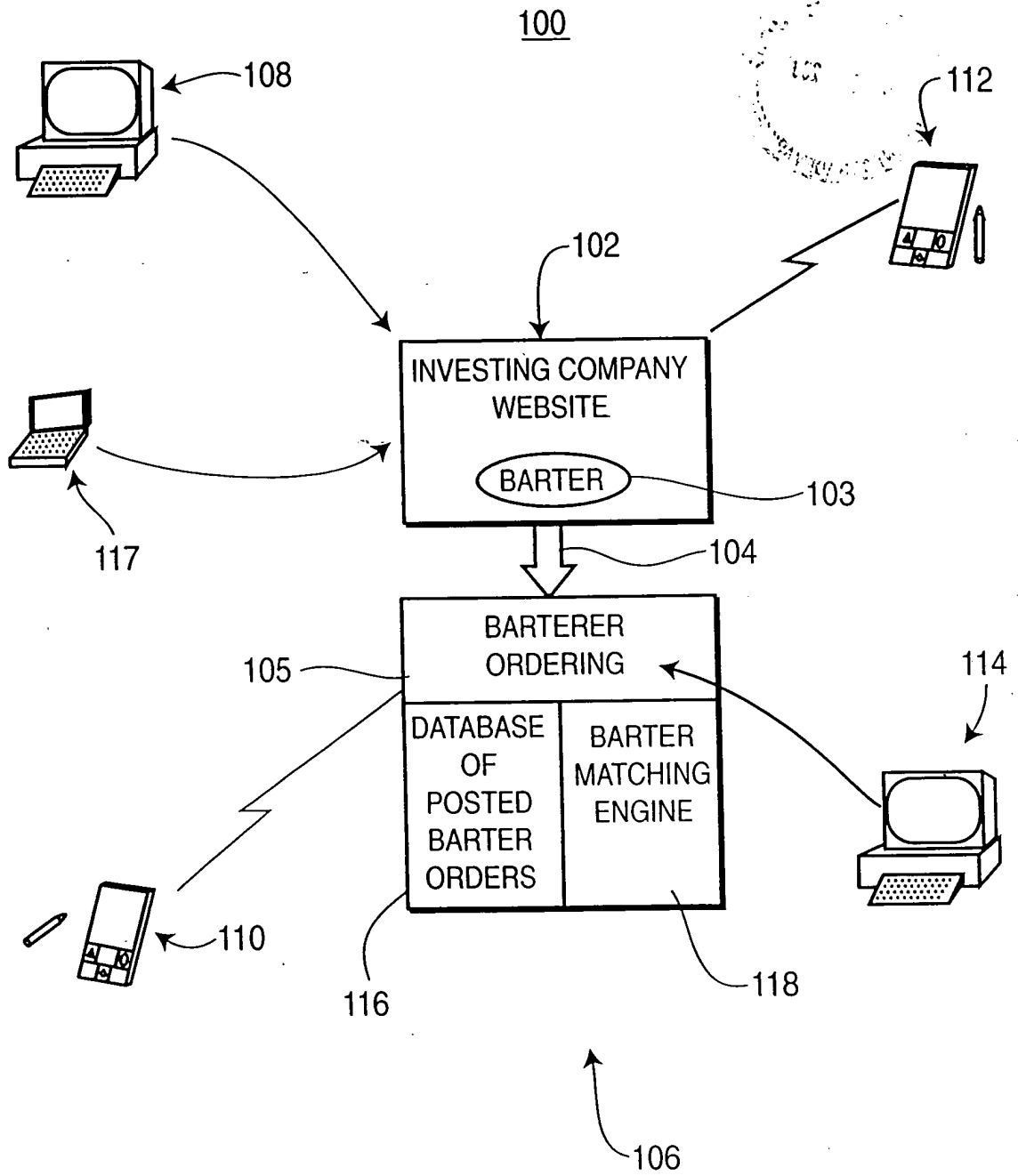
By: 
Walter G. Hanchuk
Reg. No. 35,179

CORRESPONDENCE ADDRESS:
MORGAN & FINNEGAN LLP
345 Park Avenue
New York, New York 10154
(212) 758-4800
(212) 751-6849 Facsimile

FORM: CERT..NY
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27123
PATENT TRADEMARK OFFICE

**FIG. 1**

BARTERER ORDER				
HAVE	QTY	VALUE	WANT	VALUE
DD	45	20	AET	90
228	230	232	234	236

TRAN- BARTER DATA					
TRAN-	HAVE	QTY	VALUE	WANT	VALUE
2221	AET	100	MKT	OMX	MKT-3%
4890	AET*	75	85	DD*	16
6034	AET*	100	90	DD	MKT
5564	DD	300	17	AET	74
9021	DD	110	MKT	RHAT	MKT
3752	OMX*	30	41	RHAT*	25
7657	OMX*	35	45	DD	20
3360	OMX*	40	MKT	RHAT	18
8290	RHAT	50	19	AET	MKT
0077	RHAT*	20	18	AET	MKT
1779	RHAT	15	MKT	OMX	29

FIG. 2

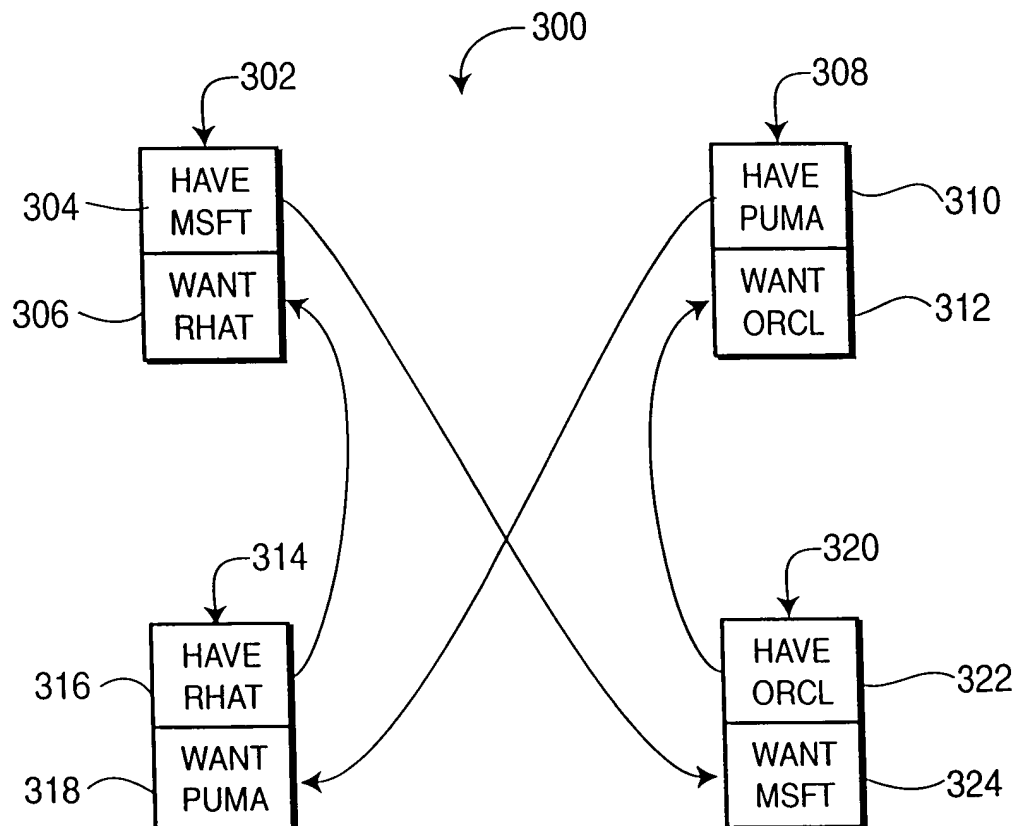
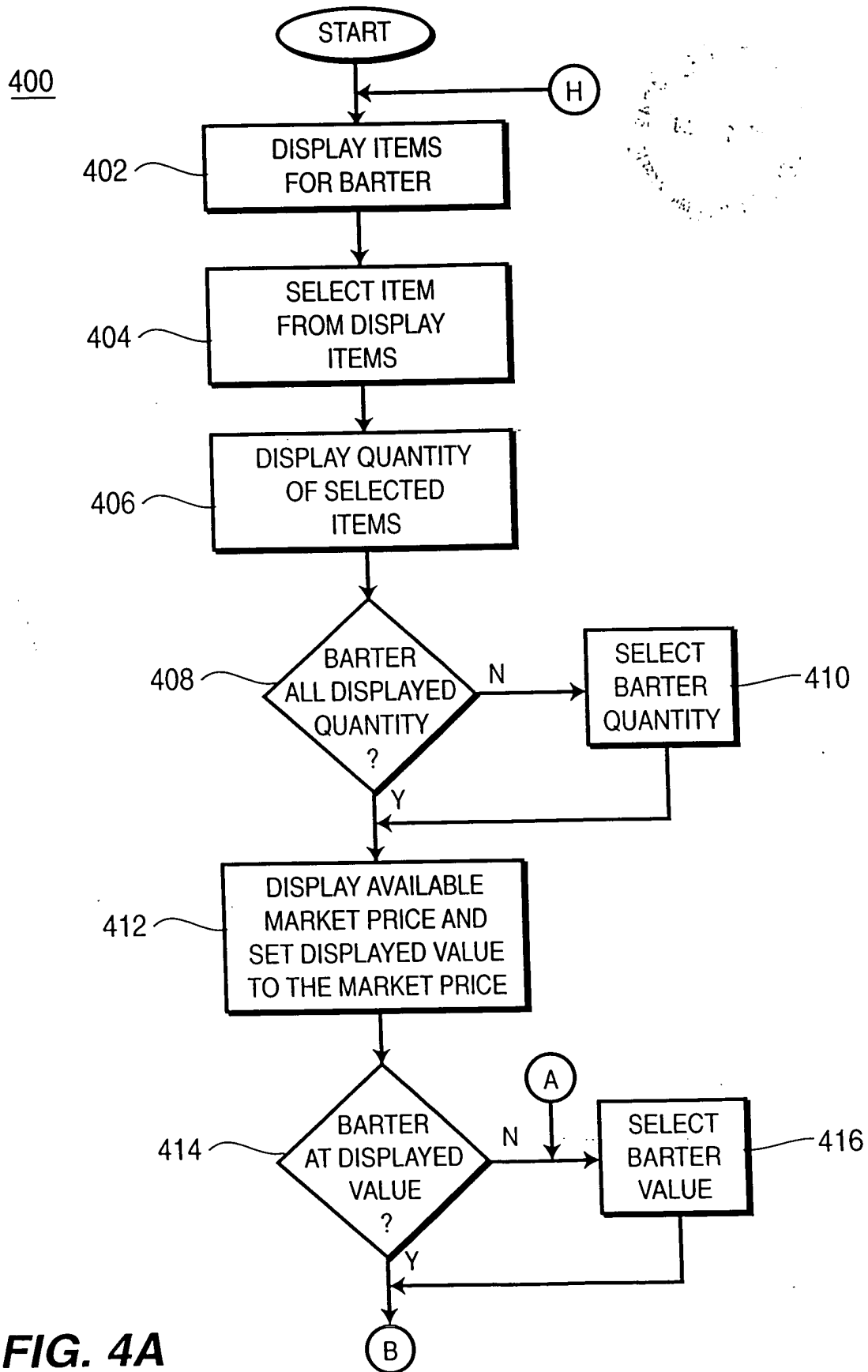


FIG. 3



400

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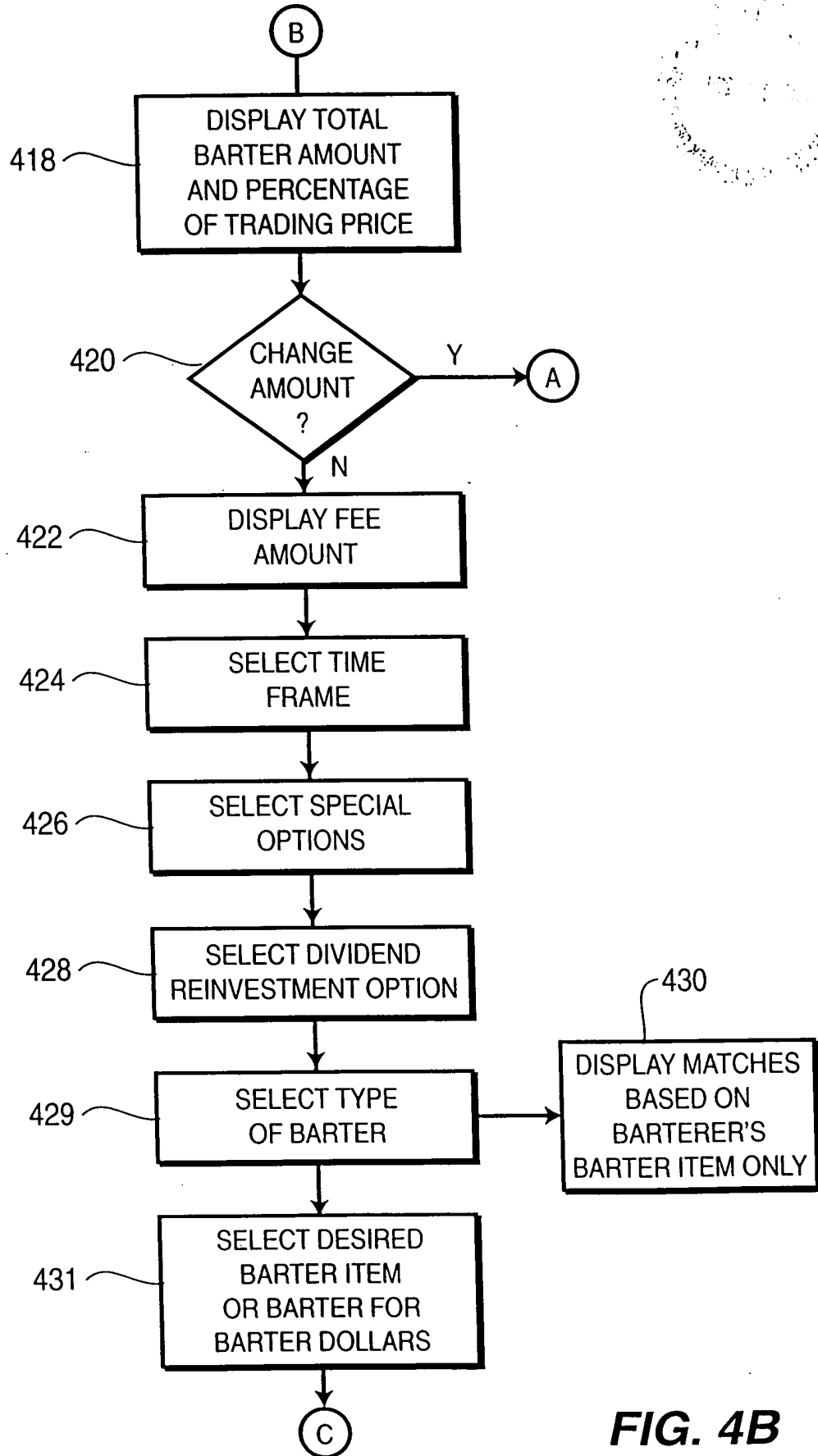


FIG. 4B

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400

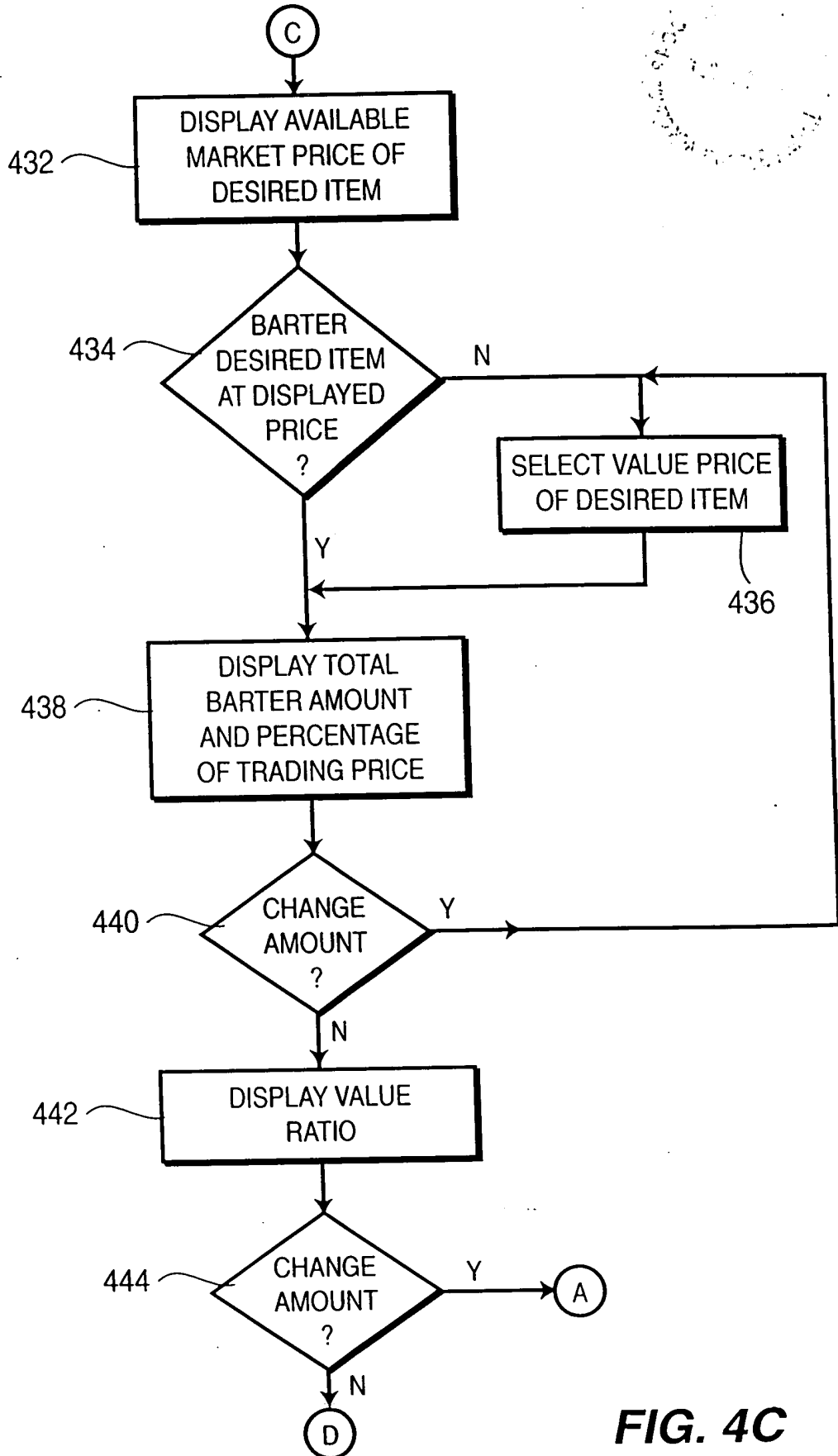


FIG. 4C

400

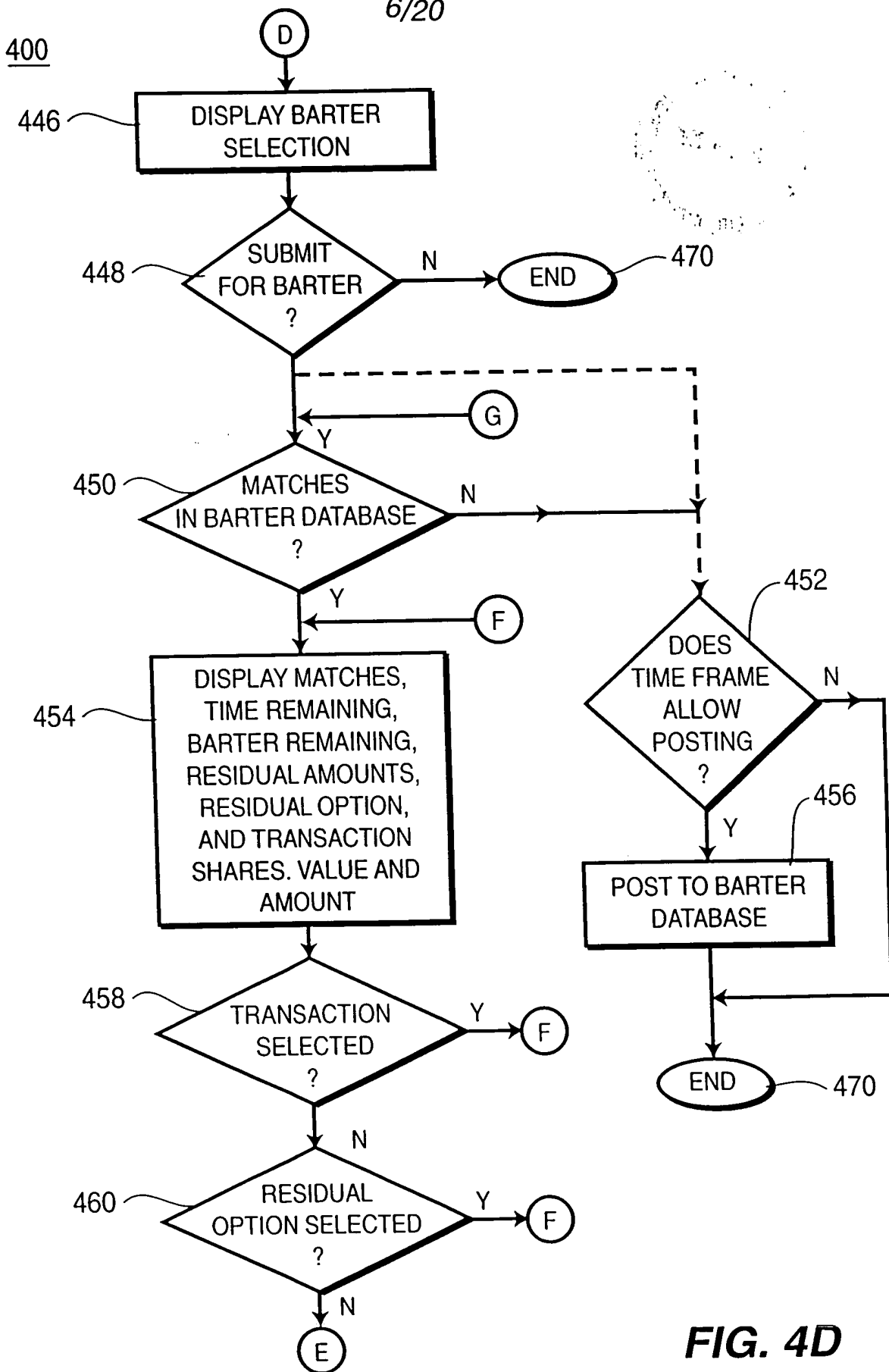
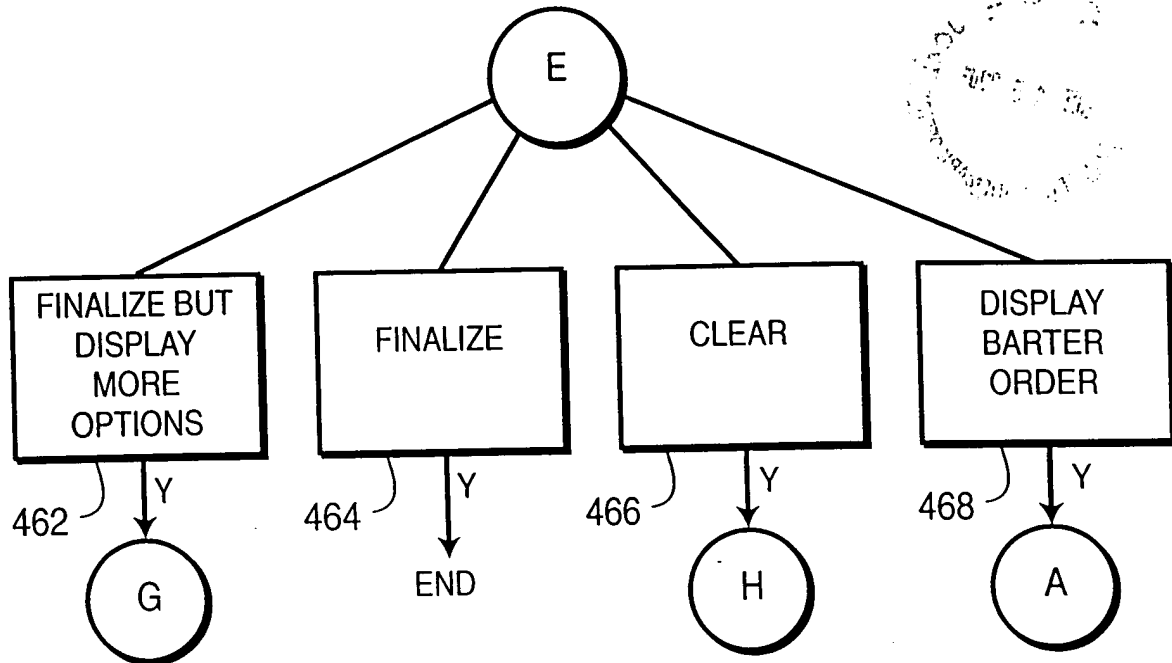
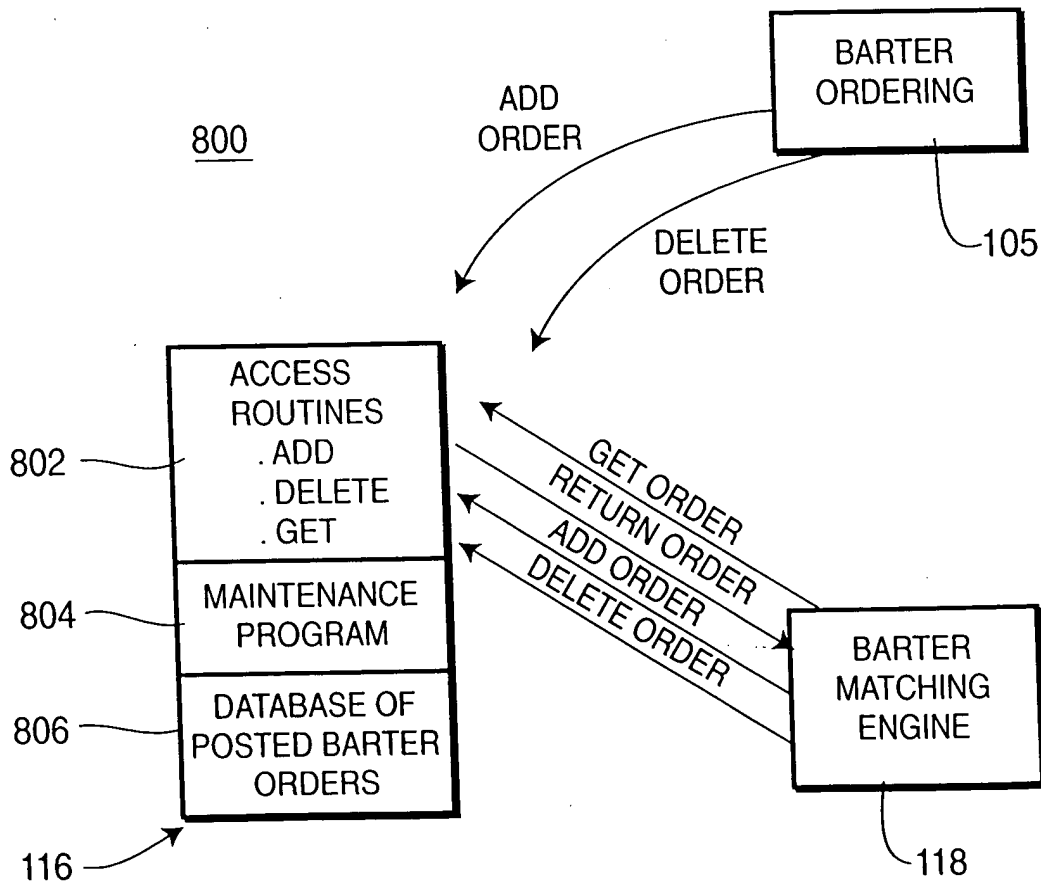


FIG. 4D

**FIG. 4E****FIG. 8**

500

BARTER SECURITY

ITEMS

DD ▼		
DD		600
PFE*	01/05/2001-01/05/2001	100
PUMA		250
DD*	11/10/2000-____/____/____	200
CASH \$		
WEB BARTER \$		

QUANTITY

600
▲▼

ITEMS BY CLASS

STOCK SYMBOL ▼
HIMMELSTEIN OPTION SYMBOL ▼
CASH XXXX ▼
WEB BARTER DOLLARS ▼

506

MARKET DATA FOR DD

Current stock trading price as of 02/15/1999 at time 10:45am is \$ 75.90

FIG. 5A

500 VALUE \$

per share,
web barter dollars,
cash

OR

If stock or Himmelstein Option,
510 ☐ barter at current stock trading price

511

\$

OR

%

512 ☐ plus
514 VALUE

\$

OR

516 PERCENT

%

518 ☐ minus
VALUE

\$

OR

519

PERCENT

517

519

%

520

Total anticipated barter amount: _____
Note: Your value price is "X" percentage/dollar amount less/more than (or equal to) stock trading price.

522

change

continue

523

FIG. 5B

524 — FEE AMOUNT per share is anticipated to be _____, if direct barter (total anticipated fee _____);

526 — FEE AMOUNT per share is anticipated to be _____, if web barter (total anticipated fee _____);

528 → TIMING

day only ▼
day only
good until canceled
fill or kill
immediate or cancel
only view current posts

530 — SPECIAL CONDITIONS (OPTIONAL)

☐ minimum quantity

☐ do not reduce

☐ all or none

☐ deferred settlement date before _____ date after _____

531 — ☐ other security, if any, to be provided at settlement _____

FIG. 5C

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532 ➤ DIVIDEND REINVESTMENT (FOR NEW STOCK)

- ☐ yes, new stock must have a dividend reinvestment program
- ☐ no, new stock must not have had a dividend reinvestment program
- ☐ accept new stock with or without a dividend reinvestment program

534 —TYPE OF BARTER

- ☐ direct barter only (fee amount anticipated to be _____)
- ☐ if direct barter not available, then barter with web site (fee amount anticipated to be _____)

DESIRED ITEM

Security AET ▼

Industry Health Care ▼

535

536

- ☐ Himmelstein Option for stock
- 537 ➔ ☐ Stock
- ☐ Cash
- ☐ Web barter dollars

MARKET DATA FOR AET

538 ➔ Current stock trading price as of 02/15/1999 at time 10:45am is \$ 47.50.

FIG. 5D

Value 540 \$ ▲▼ per share

OR 541

☐ if stock or Himmelstein Option, barter at current stock trading price

☐ plus

Value \$ ▲▼

OR

Percent % ▲▼

☐ minus

Value \$ ▲▼

OR

Percent % ▲▼

FIG. 5E

542 → Your total barter amount is (anticipated to be) _____ for new stock
Note: your value price is "X" percentage/dollar amount less/more than current
stock trading price.

544 → Note: Ratio of stock to stock trading price divided by new stock to stock trading
price is "XX.XX"

546 → System will re-list order and list terms and conditions and ask if you want to continue
must click on the continue/agree icon


548 549

FIG. 5F

AVAILABLE BARTER ORDERS

NOTE: CLICK ON ORDER # IF CHOOSE TO DO BARTER

IF MORE THAN ONE SELECTION, CLICK ON SEQUENTIAL PREFERENCE

610 

ORDER #	SYMBOL	PRICE	RATIO TO STOCK VALUE		# OF SHARES	BARTER AMOUNT	PRICE FLUCTUATE WITH STOCK TRADING PRICE	SPECIAL CONDITIONS	TIMING	DIVIDEND
			TRADING PRICE	RATIO						
1) 1000526	IBM	115	1.00	1.0200	120	\$13,800.00	YES	NONE	1	YES
2) 9843566	IBM	115 _{1/16}	.9995	1.0194	40	\$4,602.50	NO	MINIMUM 40	2	NO
3) 1043442	IBM	115 _{11/16}	.9941	1.0139	100	\$11,568.75	NO	AFTER 2/01/00 BEFORE INDEFINITE SECURITY AT SETTLEMENT = ϕ	1	YES
4)										

ORDER #	# OF SHARES GIVING	PRICE OF GIVING ITEM	# OF SHARES RECEIVING	PRICE OF RECEIVING ITEM	BARTER AMOUNT
1)					
2)					
3)					
4)					
5)					
6)					

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AMOUNT OF BARTER LEFT	TIME REMAINING
RESIDUAL AMOUNT LEFT OVER	<input type="checkbox"/> HOLD IN ESCROW <input type="checkbox"/> DONATE IT <input type="checkbox"/> PURCHASE OTHER STOCK

FINALIZE TRANSACTION
BUT DISPLAY MORE
BARTER OPTIONS

FINALIZE
TRANSACTION

CHANGE BARTER
ORDER

CLEAR

FIG. 6

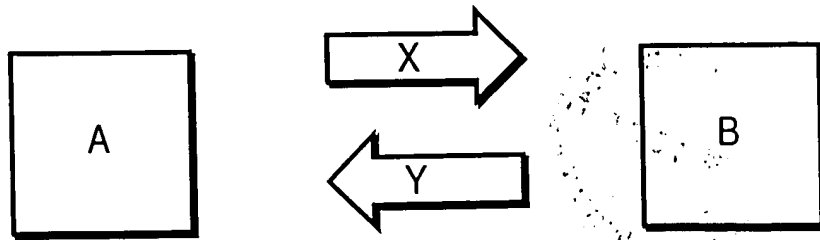


FIG. 7A

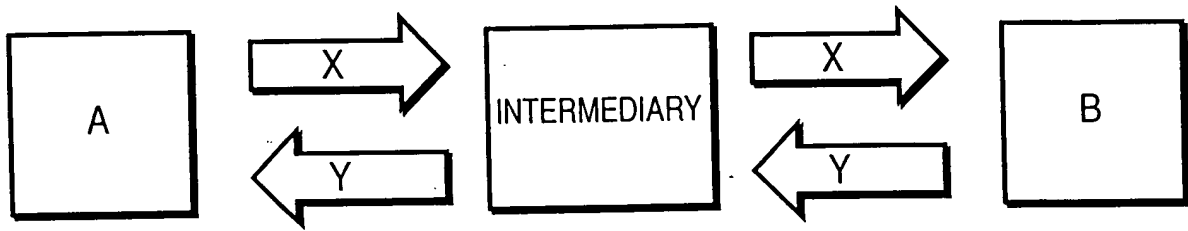


FIG. 7B

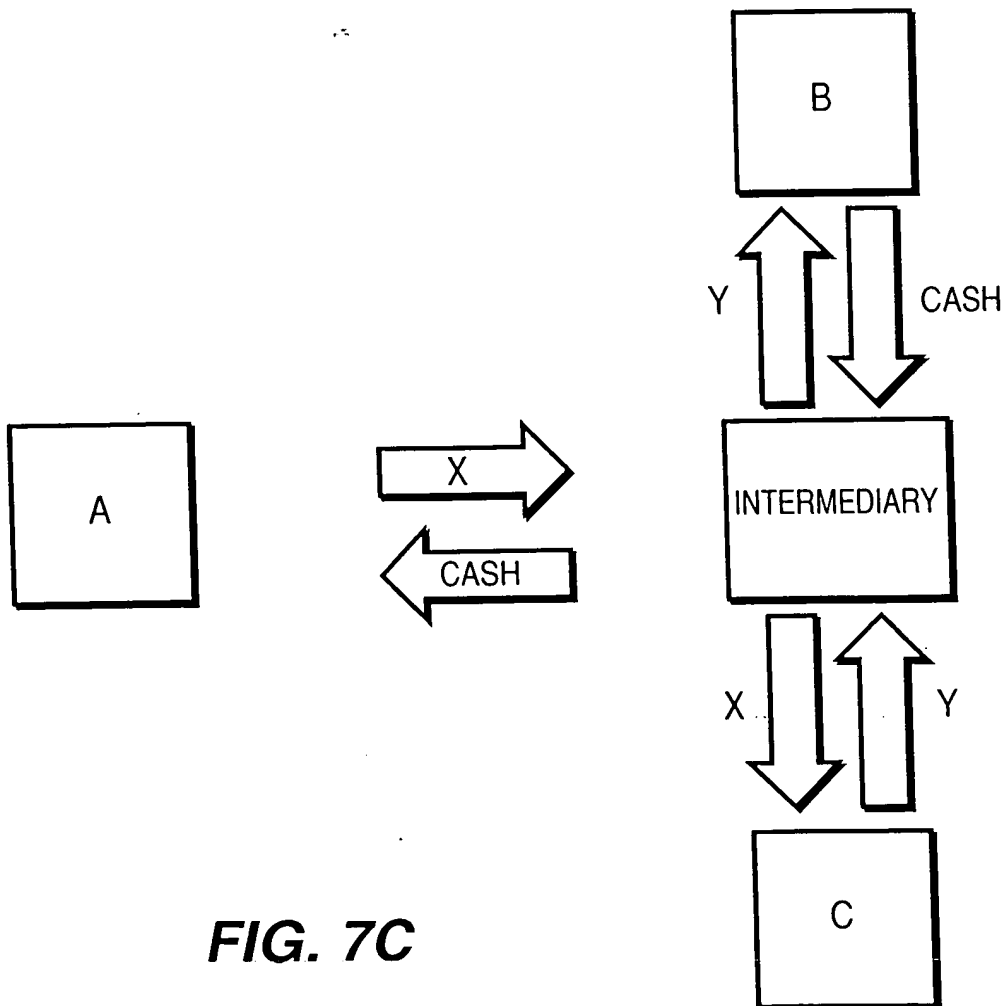


FIG. 7C

FIG. 7A



1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	2036	2037	2038	2039	2040	2041	2042	2043	2044	2045	2046	2047	2048	2049	2050	2051	2052	2053	2054	2055	2056	2057	2058	2059	2060	2061	2062	2063	2064	2065	2066	2067	2068	2069	2070	2071	2072	2073	2074	2075	2076	2077	2078	2079	2080	2081	2082	2083	2084	2085	2086	2087	2088	2089	2090	2091	2092	2093	2094	2095	2096	2097	2098	2099	2100
1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	2036	2037	2038	2039	2040	2041	2042	2043	2044	2045	2046	2047	2048	2049	2050	2051	2052	2053	2054	2055	2056	2057	2058	2059	2060	2061	2062	2063	2064	2065	2066	2067	2068	2069	2070	2071	2072	2073	2074	2075	2076	2077	2078	2079	2080	2081	2082	2083	2084	2085	2086	2087	2088	2089	2090	2091	2092	2093	2094	2095	2096	2097	2098	2099	2100

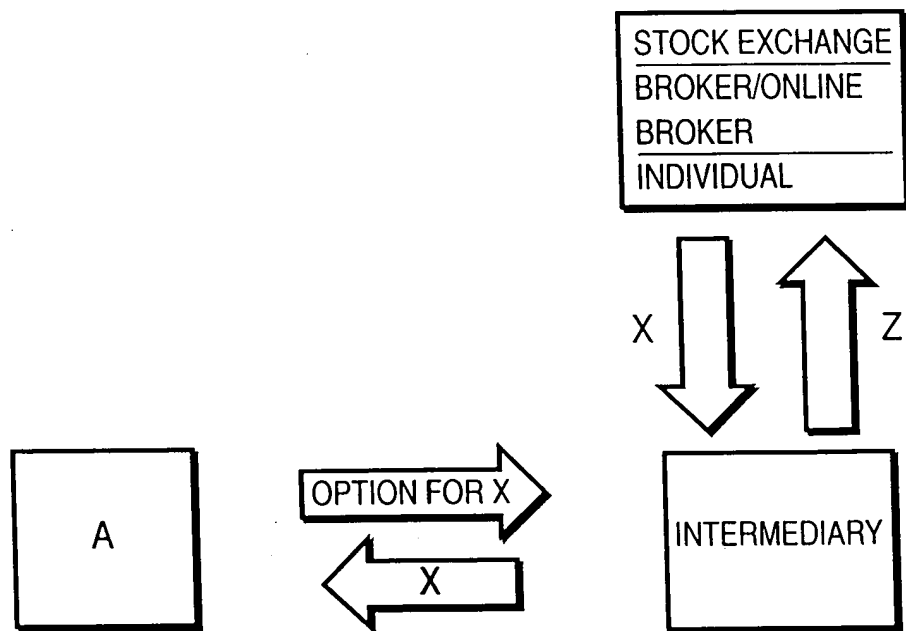


FIG. 7E

FIG. 9A

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FIG. 9AA **FIG. 9AB**

	Class/ Type	Item/ Identification	Amount	Market Value	Bid/Strike Price	Expiration Settlement/Date
1	Stock	Symbol or Name	# Shares	\$	N/A	N/A
2	Currency	US or Foreign	X	US\$	N/A	N/A
3	Bonds	Issuer	X	\$	N/A	N/A
4	Options	Z	N	\$	+/- \$	MMDDYY
5	Government Bond	Treasury Notes, Bonds or Bills	X	\$	+/- \$	N/A
6	Futures	Symbol or Name	Measure- ment* Quality	\$	N/A	MMDDYY
7	Annuities	Issuer	X	\$	N/A	N/A
8	CD's	Issuer	X	\$	N/A	N/A
9	Web Barter Dollar	IOU	X	\$	+/- \$	MMDDYY

Z = Any security

X = Foreign or domestic currency

FIG. 9AA

Barter Value	Interest Rate/ Current Yield	Due/Maturity Date	Other	Barter/Settlement Date-Open/Close
\$ or specific relationship to market value	N/A	N/A	Dividend?	MMDDYY
				MMDDYY
US\$ or specific relationship to market value	N/A	N/A	Par Discount Premium	MMDDYY
				MMDDYY
\$ or specific relationship to market value	Y% interest rate	MMDDYY	N/A	MMDDYY
				MMDDYY
\$ or specific relationship to market value	N/A	N/A	N/A	MMDDYY
				MMDDYY
\$ or specific relationship to market value	Y% yield rate	MMDDYY	N/A	MMDDYY
				MMDDYY
\$ or specific relationship to market value	N/A	N/A	N/A	MMDDYY
				MMDDYY
\$ or specific relationship to market value	Y% interest rate	MMDDYY	Fixed or Variable Interest Rate	MMDDYY
				MMDDYY
\$ or specific relationship to market value	Y% interest rate	MMDDYY	Compound Interest	MMDDYY
				MMDDYY
\$ or specific relationship to market value	Y% interest rate	MMDDYY	Dividend? Par, Discount, Premium Fixed or Variable Interest Compound Interest?	MMDDYY
				MMDDYY

Y = Interest rate or current yield in percentage

N = Quantity of options

FIG. 9AB

FIG. 9B

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FIG. 9BA FIG. 9BB

	Class/ Type	Item/ Identification	Amount	Market Value	Bid/Strike Price	Expiration Settlement/Date
1	Stock	AOL	100 Shares	\$ 10,900.00	N/A	N/A
2	Currency	Canadian \$	5,000CN\$	\$ 3,453.04	N/A	N/A
3	Bonds	Mirage	25,000.00	\$ 24,750.00	N/A	N/A
4	Options	IBM	12 Options	\$ 122,400.00	\$ 102.00	30-Nov-99
5	T-Bills	US Government	\$ 10,000.00	\$ 10,000.00	\$ 101.00	N/A
6	Futures	Gold	10 troy oz	\$ 3,157.50	N/A	30-Nov-99
7	Annuity	TransAmerica	\$ 100,000.00	\$ 100,000.00	N/A	N/A
8	CD's	SunWest Bank	\$ 50,000.00	\$ 50,000.00	N/A	N/A
9	Web Barter Dollar	IOU	\$ 25,000.00	\$ 25,000.00	A	B

A = Could have Bid Strike Price if Web Barter \$ are from Options or Government Bonds + C9 depending on terms and conditions in barter transactions

B = Could have Expiration Date if Web Barter \$ are from Options or Futures depending on terms and conditions in barter transactions

FIG. 9BA

Barter Value	Interest Rate/ Current Yield	Due/Maturity Date	Other	Barter/Settlement Date-Open/Close
\$ 10,750.00	N/A	N/A	Dividend?	01-FEB-01/ 29-FEB-01
\$ 3,448.28	N/A	N/A	N/A	02-JAN-00/ 02-JAN-00
\$ 24,900.00	8.50%	1-MAR-15	Par, Discount Premium	24-DEC-03/ 28-DEC-05
\$ 12,840.00	N/A	N/A	N/A	4-OCT-99/ 4-NOV-99
\$ 9,800.00	4.93%	15-Jun-00	N/A	OPEN/ 15-DEC-99
\$ 3,000.00	N/A	N/A	N/A	OPEN/ 31-OCT-59
\$ 105,000.00	10.50%	10-Jun-06	Fixed or Variable Interest Rate	02-JAN-02/ 12-JAN-42
\$ 49,000.00	4.14%	10-May-00	Compound Interest?	12-DEC-99/ 12-DEC-29
\$ 24,500.00	C	D	Dividend? Par,Discount, Premium Fixed or Variable Interest Compound Interest?	OPEN/ 15-JUN-04

C = Could have Yield or Interest Rate if Web Barter \$ are from Bonds, Government Bonds, Annuities or CD's depending on terms and conditions in barter transactions

D = Could have Maturity Date if Web Barter \$ are from Bonds, Government Bonds, Annuities or CD's depending on terms and conditions in barter transactions

FIG. 9BB